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PTO/SB/96 (6-98)
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Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Attorney's Docket No. 026579-308

STATEMENT UNDER 37 C.F.R. § 3.73(b)

Applicant/Patent Owner: University of Alberta

Application No./Patent No.: 09/052,614 Filed/Issue Date: March 31, 1998

Entitled: **USE OF DEXTRAN AND OTHER POLYSACCHARIDES TO IMPROVE MUCUS CLEARANCE**

University of Alberta

(Name of Assignee)

a university

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is

1. ☐ the assignee of the entire right, title, and interest;
2. ☒ an assignee of an undivided part interest.

in the patent application/patent identified above by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☒ A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: Malcolm King To: University of Alberta
The document was recorded in the Patent and Trademark Office at
Reel 9273, Frame 0913, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

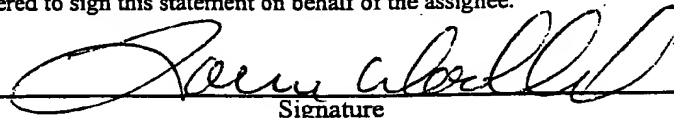
☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the PTO. See MPEP 302-302.8]

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

Date:

October 4, 1999



Signature

Typed or printed name

Title

LAINÉ WOOLLARD, B.Sc. (PHARM), LL.B.
BARRISTER AND SOLICITOR, NOTARY PUBLIC
INTELLECTUAL PROPERTY AND LEGAL MANAGER
INDUSTRY LIAISON OFFICE, U OF A

(10/98)

09892636-062301

COPY

ASSIGNMENT

WHEREAS, I, Malcolm King, whose full post office address is 3328-116 Street, Edmonton, Alberta T6J 3J2, Canada, have invented USE OF DEXTRAN AND OTHER POLYSACCHARIDES TO IMPROVE MUCUS CLEARANCE, for which application for a patent has been filed in the United States:

AND WHEREAS, The University of Alberta, whose full post office address is The Industry Liaison Office, 222 Campus Tower, 8625 - 112 Street, Edmonton, Alberta T6G 2E1, Canada, is desirous of acquiring an interest therein:

AND WHEREAS, the serial number and filing date of the application are as follows:

Serial No.: 09/052,614

Filing Date: March 31, 1998

NOW THEREFORE, in consideration of One Dollar (\$1.00), the receipt of which is hereby acknowledged, I, Malcolm King, by these presents do sell, assign and transfer all my right for the United States of America and all other countries foreign thereto, in and to said invention, as described in said application, unto The University of Alberta, said invention, said application, any other applications for Letters Patent for said invention, and all Letters Patent issuing from such applications, to be held and enjoyed by The University of Alberta, for their own use and behoof, and for their legal representatives, to the full end of the term for which said Letters Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.

09892636-052801


COPY

I, Malcolm King, undertake to sign such further documents to effect the aforesaid sale, transfer and assignment as may be required from time to time, without reimbursement, but at the expense of The University of Alberta.

EXECUTED at Edmonton, this 11 day of JUNE, 1998.


Malcolm King

I, Gabriela Gruber, hereby declare that I was personally present and did see Malcolm King who is personally known to me to be the person named in the above assignment duly sign and execute the same.


(Signature of Witness)

91557-S (YK:cl)
4 June 1998

09892636-062301

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Attorney's Docket No. 026579-308

STATEMENT UNDER 37 C.F.R. § 3.73(b)

Applicant/Patent Owner: University of British Columbia

Application No./Patent No.: 09/052,614 Filed/Issue Date: March 31, 1998

Entitled: **USE OF DEXTRAN AND OTHER POLYSACCHARIDES TO IMPROVE MUCUS CLEARANCE**

University of British Columbia

(Name of Assignee)

a university

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is

1. ☐ the assignee of the entire right, title, and interest;
2. ☒ an assignee of an undivided part interest.

in the patent application/patent identified above by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☒ A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: David Speert To: University of British Columbia
The document was recorded in the Patent and Trademark Office at
Reel 9273, Frame 0944, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the PTO. See MPEP 302-302.8]

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

Date: SEP 20 1999

Angus Livingstone
Managing Director
University - Industry Liaison Office


Signature

Typed or printed name

Title

COPY

ASSIGNMENT

WHEREAS, I, David P. Speert, whose full post office address is 4616 W 2nd Avenue, Vancouver, British Columbia V6R 1L1, Canada have invented USE OF DEXTRAN AND OTHER POLYSACCHARIDES TO IMPROVE MUCUS CLEARANCE, for which application for a patent has been filed in the United States;

AND WHEREAS, The University of British Columbia, whose full post office address is University Industry Liaison Office, 2194 Health Sciences Mall, IRC 331, Vancouver, British Columbia V6T 1Z3, Canada, is desirous of acquiring an interest therein;

AND WHEREAS, the serial number and filing date of the application are as follows:

Serial No.: 09/052,614

Filing Date: March 31, 1998

NOW THEREFORE, in consideration of One Dollar (\$1.00), the receipt of which is hereby acknowledged, I, David P. Speert, by these presents do sell, assign and transfer all my right for the United States of America and all other countries foreign thereto, in and to said invention, as described in said application, unto The University of British Columbia, said invention, said application, any other applications for Letters Patent for said invention, and all Letters Patent issuing from such applications, to be held and enjoyed by said University of British Columbia, for their own use and behoof, and for their legal representatives, to the full end of the term for which said Letters Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.

09892636-062801

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I, David P. Speert, undertake to sign such further documents to effect the aforesaid sale, transfer and assignment as may be required from time to time, without reimbursement, but at the expense of The University of British Columbia.

Vancouver nb
EXECUTED at Edmonton, this 8th day of June, 1998.

David P. Speert
David P. Speert

I, MAUREEN A. BEATTIE, hereby declare that I was personally present and did see David P. Speert who is personally known to me to be the person named in the above assignment duly sign and execute the same.

Maureen A. Beattie
(Signature of Witness)

91557-5 (YK:cl)
4 June 1998

09092636-062801

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of)
)
Malcolm King, et al.) Group Art Unit: 1623
)
Application No.: 09/052,614) Examiner: H. Lee
)
Filed: March 31, 1998)
)
For: USE OF DEXTRAN AND OTHER)
POLYSACCHARIDES TO IMPROVE)
MUCUS CLEARANCE)

**REVOCATION AND NEW POWER OF ATTORNEY
BY ASSIGNEES OF ENTIRE INTEREST**

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

We, the University of British Columbia and the University of Alberta, are the joint assignees of the entire interest in the above-identified application by virtue of assignments from the inventors.

As the Assignees of the entire interest in the above-identified application, all powers of attorney previously given are hereby revoked, and Gerald F. Swiss, Esq., Registration No. 30,113, Leslie A. Mooi, Esq., Registration No. 37,047, and Leslie J. Boley, Esq., Registration No. 41,490 are hereby appointed to prosecute and transact all business in the U.S. Patent and Trademark Office connected with the above-identified application. The Assignees have reviewed documentary evidence of the chain of title from the original owners to the Assignees and have enclosed two statements under 37 C.F.R. § 3.73(b).

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Revocation and New Power of Attorney
Application Serial No. 09/052,614
Attorney's Docket No. 026579-308
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Please direct all telephone calls and correspondence to:

Gerald F. Swiss, Esq.
BURNS, DOANE, SWECKER & MATHIS, L.L.P.
P.O. Box 1404
Alexandria, Virginia 22313-1404
(650) 854-7400

Date: _____

Signature: _____

Name:
Title:
Company: University of British Columbia

Date: October 4, 1999.

Signature: _____

Name:
Title:
Company: University of Alberta

LAINE WOOLLARD, B.Sc. (PHARM), LL.B.
BARRISTER AND SOLICITOR, NOTARY PUBLIC
INTELLECTUAL PROPERTY AND LEGAL MANAGER
INDUSTRY LIAISON OFFICE, U OF A

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